

FORM PTO-1390 (Modified) U.S. PATENT AND TRADEMARK OFFICE; U.S. DEPARTMENT OF COMMERCE
(REV. 07-2004)

ATTORNEY'S DOCKET NUMBER

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A SUBMISSION UNDER 35 U.S.C. 371

2002DE305

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

NOT ASSIGNED **10/511402**

INTERNATIONAL APPLICATION NO.

PCT/EP03/03666

INTERNATIONAL FILING DATE

April 9, 2003

PRIORITY DATE CLAIMED

April 17, 2002

TITLE OF INVENTION

NANOIMPRINT RESIST

APPLICANT(S) FOR DO/EO/US

Walter SPIESS, Fumio KITA, Michael MEIER, Andreas GIER,
Martin MENNIG, Peter W. OLIVEIRA, Helmut SCHMIDT

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a submission under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a submission under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.
4. ☒ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
 - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☒ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☒ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☒ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☒ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).
11. ☐ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☒ A copy of the International Search Report (PCT/ISA/210).

Items 13 to 23 below concern document(s) or information included:

13. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☒ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A power of attorney and/or change of address letter.
19. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
20. ☐ A second copy of the published International Application under 35 U.S.C. 154(d)(4).
21. ☐ A second copy of the English language translation of the International Application under 35 U.S.C. 154(d)(4).
22. ☒ Express Mail Label No. EL 972143618 US
23. ☒ Other items or information:

Form PCT/IPEA/416

Form PCT/IPEA/409

Form PCT/ISA/210

WO 03/087935 A2

U.S. APPLICATION NO (if known, see 37 CFR 1.53) NOT ASSIGNED		INTERNATIONAL APPLICATION NO. PCT/EP03/03666		ATTORNEY'S DOCKET NUMBER 2002DE305	
24. The following fees are submitted: BASIC NATIONAL FEE (37 CFR 1.492(a)(1)-(5)) : <input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO \$1110.00 <input checked="" type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO \$950.00 <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$790.00 <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) \$750.00 <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) \$100.00 ENTER APPROPRIATE BASIC FEE AMOUNT = \$950.00				CALCULATIONS PTO USE ONLY	
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				\$0.00	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	14 - 20 =	0	x \$18.00	\$0.00	
Independent claims	1 - 3 =	0	x \$88.00	\$0.00	
Multiple Dependent Claims (check if applicable) <input type="checkbox"/>				\$0.00	
TOTAL OF ABOVE CALCULATIONS =				\$950.00	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				\$0.00	
SUBTOTAL =				\$950.00	
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$0.00	
TOTAL NATIONAL FEE =				\$950.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable). <input type="checkbox"/>				\$0.00	
TOTAL FEES ENCLOSED =				\$950.00	
				Amount to be:	\$
				refunded	\$
				charged	\$

- a. ☐ A check in the amount of _____ to cover the above fees is enclosed.
- b. ☒ Please charge my Deposit Account No. 03-2060 in the amount of \$950.00 to cover the above fees.
- c. ☒ The Director is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 03-2060
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.

SEND ALL CORRESPONDENCE TO:

ALAN P. KASS
 AZ ELECTRONIC MATERIALS USA CORP.
 70 MEISTER AVENUE
 SOMERVILLE, NJ 08876

CUSTOMER NO. 26,289

SIGNATURE

ALAN P. KASS

NAME

32,142

REGISTRATION NUMBER

October 13, 2004

DATE

10/511402

T05 Rec'd PCT/PTO 13 OCT 2004

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)Applicant(s): **Walter SPIESS et al.**

Docket No.

2002DE305Application No.
NOT ASSIGNEDFiling Date
October 12, 2004Examiner
NOT ASSIGNEDCustomer No.
26,289Group Art Unit
NOT ASSIGNED

Invention:

NANOIMPRINT RESIST

I hereby certify that the following correspondence:

Transmittal Letter - 2 Pages*(Identify type of correspondence)*

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on

October 13, 2004*(Date)*MARIA T. SANCHEZ*(Typed or Printed Name of Person Mailing Correspondence)*
*(Signature of Person Mailing Correspondence)*EL 972143618 US*("Express Mail" Mailing Label Number)***Note: Each paper must have its own certificate of mailing.**

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10) Applicant(s): Walter SPIESS et al.			Docket No. 2002DE305	
Application No. NOT ASSIGNED	Filing Date October 12, 2004	Examiner NOT ASSIGNED	Customer No. 26,289	Group Art Unit NOT ASSIGNED

Invention:

NANOIMPRINT RESIST

I hereby certify that the following correspondence:

English language translation of the amendments to the claims under PCT Article 19 (U.S.C. 371(c)(3)) - 3 Pages

(Identify type of correspondence)

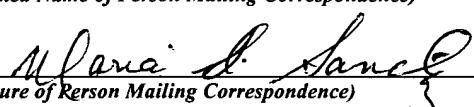
is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on

October 13, 2004

(Date)

MARIA T. SANCHEZ

(Typed or Printed Name of Person Mailing Correspondence)



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Invention:

NANOIMPRINT RESIST

I hereby certify that the following correspondence:

WO 03/087935 A2 - 20 Pages

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October 13, 2004

(Date)

MARIA T. SANCHEZ

(Typed or Printed Name of Person Mailing Correspondence)

(Signature of Person Mailing Correspondence)

EL 972143618 US

("Express Mail" Mailing Label Number)

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10/511402

05 Rec'd PCT/PTO 13 OCT 2004

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)Applicant(s): **Walter SPIESS et al.**

Docket No.

2002DE305

Application No.
NOT ASSIGNEDFiling Date
October 12, 2004Examiner
NOT ASSIGNEDCustomer No.
26,289Group Art Unit
NOT ASSIGNED

Invention:


NANOIMPRINT RESIST

I hereby certify that the following correspondence:

Form PCT/IPEA/409 - 8 Pages*(Identify type of correspondence)*

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on

October 13, 2004*(Date)*MARIA T. SANCHEZ*(Typed or Printed Name of Person Mailing Correspondence)**(Signature of Person Mailing Correspondence)*EL 972143618 US*("Express Mail" Mailing Label Number)***Note: Each paper must have its own certificate of mailing.**

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)			Docket No. 2002DE305	
Applicant(s): Walter SPIESS et al.				
Application No. NOT ASSIGNED	Filing Date October 12, 2004	Examiner NOT ASSIGNED	Customer No. 26,289	Group Art Unit NOT ASSIGNED
Invention: NANOIMPRINT RESIST				
I hereby certify that the following correspondence: <div style="border: 1px solid black; padding: 10px; margin: 10px 0;">Form PCT/IPEA/416 - 1 Page</div> <p style="text-align: center;"><i>(Identify type of correspondence)</i></p> <p>is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on</p> <div style="display: flex; justify-content: space-between; margin-top: 20px;"><div style="text-align: center;"><u>October 13, 2004</u> <i>(Date)</i></div><div style="text-align: center;"><u>MARIA T. SANCHEZ</u> <i>(Typed or Printed Name of Person Mailing Correspondence)</i>  <i>(Signature of Person Mailing Correspondence)</i></div><div style="text-align: center;"><u>EL 972143618 US</u> <i>("Express Mail" Mailing Label Number)</i></div></div>				
Note: Each paper must have its own certificate of mailing.				

10/511402

2005 Rec'd PCT/PTO 13 OCT 2004

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)

Applicant(s): Walter SPIESS et al.

Docket No.

2002DE305

Application No.
NOT ASSIGNEDFiling Date
October 12, 2004Examiner
NOT ASSIGNEDCustomer No.
26,289Group Art Unit
NOT ASSIGNED

Invention:

NANOIMPRINT RESIST

I hereby certify that the following correspondence:

International Search Report (Form PCT/ISA/210) - 1 Page

(Identify type of correspondence)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on

October 13, 2004*(Date)*MARIA T. SANCHEZ*(Typed or Printed Name of Person Mailing Correspondence)**(Signature of Person Mailing Correspondence)*EL 972143618 US*("Express Mail" Mailing Label Number)***Note: Each paper must have its own certificate of mailing.**